



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

2761  
2761 #

Applicant: Paul T. Green

Serial No.: 09/389,939

For: FINANCIAL INSTRUMENT FILTERING SYSTEM AND METHOD THEREFOR

Filed: September 3, 1999

Examiner: Not Yet Assigned

Art Unit: 2761

Attorney Docket No.: 321.5452USU

RECEIVED

JUL 10 2001

Technology Center 210C

COMMISSIONER FOR PATENTS  
Washington, D.C. 20231

Dear Sir:

**AMENDMENT TRANSMITTAL FORM**

Transmitted herewith is a Preliminary Amendment in the above-identified application.

Petition for extension of time pursuant to 37 C.F.R. §§ 1.136 and 1.137 is hereby made if, and to the extent, required. The fee for this extension of time is calculated to be \$\_\_\_\_\_ to extend the time for filing this response until \_\_\_\_\_.

The fee for any change in number of claims has been calculated as shown below.

CLAIMS AS AMENDED						
	Claims Remaining After Amendment		Highest Number Previously Paid	Present Extra	Rate	
Total Claims	46	Minus	40	6	x \$18.00	\$108.00
Independent Claims	5	Minus	4	1	x \$80.00	\$80.00
MULTIPLE DEPENDENT CLAIM FEE				x \$270.00 = \$		
TOTAL FEE FOR CLAIM CHANGES				\$188.00		

The total fee for this amendment, including claim changes and any extension of time is calculated to be \$ **188.00**.



X check in the amount of \$ 188.00 is attached.

X The Commissioner is hereby authorized to charge any additional fees under 37 C.F.R. §§1.16 and 1.17 which may be required with this communication or during the entire pendency of the application, or credit any overpayment, to **Deposit Account No. 01-0467**. A duplicate copy of this Form is enclosed.

June 27, 2001

Date

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Attorney for Applicant(s)

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**CERTIFICATE OF MAILING**

I HEREBY CERTIFY THAT THIS CORRESPONDENCE IS BEING DEPOSITED WITH THE U.S. POSTAL SERVICE AS FIRST CLASS MAIL IN AN ENVELOPE ADDRESSED TO: COMMISSIONER FOR PATENTS, WASHINGTON, D.C. 20231, ON June 27, 2001.

Joanne A. Romaniello

NAME

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6/27/01

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Technology Center 2100



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**PRELIMINARY AMENDMENT**

Assistant Commissioner for Patents  
Washington, D. C. 20231

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Sir:

**Technology Center 2100**

Please amend the above patent application as follows:

**IN THE CLAIMS**

Please amend the claims as follows:

1. (Amended) User interactive apparatus for conducting a search of a data base containing data for a universe of financial instruments, said search including the performance of n filter passes of said data for said universe, said apparatus comprising:

a computer system including a processor, a memory, a viewing screen, a

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01 FC:102  
02 FC:103

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108.00 OP